

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/776,990	02/05/2001	Stephen J. Boies	YOR920000759US1

CONFIRMATION NO. 4937

## FORMALITIES LETTER



\*OC000000006006429\*

Duke W. Yee  
Carstens, Yee & Cahoon, LLP  
P.O. Box 802334  
Dallas, TX 75380

Date Mailed: 04/25/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

05/29/2001 ETULU1 00000023 09776990

FILED UNDER 37 CFR 1.53(b)

01 FC:105

130.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
Applicant must submit **\$ 710** to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$828.  
  - \$828 for 46 total claims over 20.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1668.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below:

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

05/29/2001 ETULU1 00000024 500510 09776990

01 FC:101 710.00 CH  
02 FC:103 828.00 CH

A copy of this notice **MUST** be returned with the reply.

ET

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE





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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application: **Boies et al.**

Serial No.: **09/776,990**

Filed: **February 5, 2001**

For: **Method and System for  
Decentralized Order Matching  
Among Individual Marketplaces**

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Group Art Unit: **2161**

Examiner: **Unknown**

Attorney Docket No.: **YOR920000759US1**

<p align="center"><u>Certificate of Mailing Under 37 C.F.R. § 1.8(a)</u></p> <p>I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on <u>05-22-01</u></p> <p>By: <u>Dell Whitton</u> Dell Whitton</p>
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**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

A Notice to File Missing Parts of Nonprovisional Application was received by Applicant stating the following:

1. The statutory basic filing fee is missing
2. Total additional claim fee(s) is \$828; and
3. A late filing fee or oath or declaration of \$130 must be submitted with this response.

The Deposit Account No. of the Transmittal filed with the application for this docket on February 5, 2001 was listed incorrectly as 05-510. The correct **Deposit Account No. is 50-0510.**

Applicant hereby requests that the following amounts be charged to **Deposit Account No. 50-0510:**

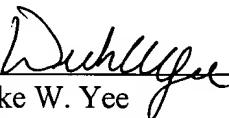
1. Statutory basic filing fee of **\$710**; and
2. Total additional claim fee(s) of **\$828**, which includes a charge of \$828 for 46 claims over 20.

Applicant encloses a check in the amount of \$130 to cover the late filing fee charge.

No additional fees are believed to be necessary at this time since there are actually no missing parts. However, in the event that any fees are required for the prosecution of this application, please charge any necessary fees to **Deposit Account No. 50-0510**. No extension of time is believed to be necessary. If, however, an extension of time is needed, the extension is requested. Please charge the fee for this extension to Deposit Account No. 50-0392.



Respectfully submitted,

  
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Duke W. Yee

Registration No. 34,285

**Carstens, Yee & Cahoon, LLP**

P.O. Box 802334

Dallas, Texas 75380

(972) 367-2001

ATTORNEY FOR APPLICANT



From: Paula Stanland on 02/13/2001 08:31 AM

To: Duke Yee/Austin/Contr/IBM@IBMUS

cc:

From: Paula Stanland/Watson/IBM@IBMUS

Subject: Re: Deposit Account Authorization

Importance: Normal

Krista, we just realized that the firm name had already been added to our authorization list a while ago. Can you tell me the exact nature of the problem you're experiencing with the USPTO so that we can try to solve this at our end?

In the meantime, please accept this note as authorization from the IBM Yorktown Intellectual Property Law Department to use our Deposit account #50-0510 for relating to patent applications sent to Carstens, Yee & Cahoon by Yorktown Intellectual Property Law.

Thanks,  
Paula

Intellectual Property Law Department  
T.J. Watson Research Center  
P.O. Box 218, Yorktown Heights, New York 10598  
Phone: (914) 945-2416 T/L 862-2416  
Fax: (914) 945-3281 T/L 862-3281

Duke Yee  
02/09/2001 02:13 PM

To: Paula Stanland/Watson/IBM@IBMUS

cc:

From: Duke Yee/Austin/Contr/IBM@IBMUS

Subject: Deposit Account Authorization

Hi Paula,

The PTO is giving us some trouble using your deposit account number. Could you please send me an authorization so that I can fax it to them.

Thanks!

Krista

Carstens, Yee & Cahoon, LLP  
physical location:  
13760 Noel Road  
Suite 900  
Dallas, Texas 75240

mailing address:

on 05-22-01 by Pell Whetton



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Boies et al.**

Serial No.: 09/776,990

Filed: February 5, 2001

For: **Method and System for  
Decentralized Order Matching Among  
Individual Marketplaces**

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Group Art Unit: 2161

Examiner: **Unknown**

Attorney Docket No.: **YOR920000759US1**

Certificate of Mailing Under 37 C.F.R. § 1.8(a)

I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on

05-22-01

By:

Dell Whitton  
Dell Whitton

TRANSMITTAL DOCUMENT

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

ENCLOSED HEREWITH:

1. Response to Notice to File Missing Parts of Nonprovisional Application;
2. Copy of Notice to File Missing Parts of Nonprovisional Application;
3. Copy of authorization to use IBM Yorktown Intellectual Property Department Deposit Account Number;
4. Letter to the Official Draftsman;
5. 5 pages of drawings;
6. Check in the amount of \$130.00 and
7. Our return postcard.

No additional fees are believed to be required. However, in the event that any fees are required for the prosecution of this application, please charge the necessary fees to **Deposit Account No. 50-0510**. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to Deposit Account No. 50-0392.

Respectfully submitted,

Duke W. Yee  
Duke W. Yee

Registration No. 34,285

CARSTENS, YEE & CAHOON, LLP

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(972) 367-2001

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